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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): **Smith (et al.)**  
Serial No.: **09/405,608**  
Filed: **9/24/1999**

Attorney Docket: **0010-011**  
Examiner: **Unknown**  
Group Art Unit: **2771**

Title: **System And Method For Managing Connections Between A Client And A Server**

Assistant Commissioner for Patents  
Washington, DC 20231

**TRANSMITTAL FOR INFORMATION DISCLOSURE STATEMENT**

Enclosed for filing in the above-referenced application are the following:

1. Information Disclosure Statement (3 pages);
2. Form PTO-1449 (3 pages);
3. 30 cited references; and
4. Return receipt postcard.

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SEP 05 2002  
Technology Center 2100

Date: 8/29/02

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**CERTIFICATE OF MAILING (37 CFR 1.8(A))**

I hereby certify that this paper (along with any referred to as being attached or enclosed) is being deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, DC 20231.

Date: 8/29/02

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Pursuant to 37 C.F.R. §1.56, §1.97, and §1.98, Applicant(s) bring(s) the following documents to the Examiner's attention in the above-referenced application:

1. U.S. Patent No. 5,550,981, issued 08/27/1996, to Bauer et al.;
2. U.S. Patent No. 5,678,007, issued 10/14/1997, to Hurvig;
3. U.S. Patent No. 5,832,512, issued 11/03/1998, to Mastors et al.;
4. U.S. Patent No. 5,852,717, issued 12/22/1998, to Bhide et al.;
5. U.S. Patent No. 5,867,650, issued 02/02/1999, to Osterman;
6. U.S. Patent No. 5,867,652, issued 02/02/1999, to Hurvig;
7. U.S. Patent No. 5,896,508, issued 04/20/1999, to Lee;
8. U.S. Patent No. 5,898,830, issued 04/27/1999, to Wesinger, Jr. et al.;
9. U.S. Patent No. 5,924,116, issued 07/13/1999, to Aggarwal et al.;
10. U.S. Patent No. 5,935,249, issued 08/10/1999, to Stern et al.;
11. U.S. Patent No. 5,941,988, issued 08/24/1999, to Bhagwat et al.;
12. U.S. Patent No. 5,974,496, issued 10/26/1999, to Miller;
13. Japanese Patent No. 11-149450, issued 02/06/1999, to Chiba;
14. Luotonen, Web Proxy Servers, Prentice Hall PTR (1998), pp. 3-16;
15. IBM TDB, "Generating Specific Server Programs in Distributed Object-Oriented Customer Information Control System," January 1995, Vol. 38, No. 1, pp. 411-414;

16. Scheifler et al., "The X Window System," ACM Transactions on Graphics, Vol. 5, No. 2, April 1986, pp. 79-109;
17. U.S. Patent No. 6,014,695, issued 01/11/2000, to Yamashita et al.;
18. U.S. Patent No. 6,072,483, issued 06/06/2000, to Rosin et al.;
19. U.S. Patent No. 6,104,716, issued 08/15/2000, to Crichton et al.;
20. U.S. Patent No. 6,115,755, issued 09/05/2000, to Krishan;
21. U.S. Patent No. 6,119,161, issued 09/12/2000, to Lita et al.;
22. U.S. Patent No. 6,122,514, issued 09/19/2000, to Spaur et al.;
23. U.S. Patent No. 6,138,162, issued 10/24/2000, to Pistriotto et al.;
24. U.S. Patent No. 6,182,141, issued 01/30/2001, to Blum et al.;
25. Mogul, J.C., "The Case for Persistent-Connection HTTP," Proceedings of the Conference on Applications, Technologies, Architectures, & Protocols for Computer Comm., 1995, pp. 299-313;
26. Cheriton, David R., "VMTP: A Transport Protocol for the Next Generation of Communication Systems," Proceeding, ACM SIGCOMM Conference on Communications Architecture & Protocols, 1986, pp. 406-415;
27. Goldszmidt et al., "Scaling Internet Services by Dynamic Allocation of Connections," Integrated Network Management, 1999, Proceedings, 6<sup>th</sup> IFIP/IEEE Int. Sym. on, pp. 171-184;
28. Kant et al., "Server Capacity Planning for Web Traffic Workload, Knowledge and Data Engineering," IEEE Transactions on, Vol. 11, No. 5, September-October 1999, pp. 731-747;
29. Lin et al., "Speech Communication for Working Group Based on LAN," Communications, 1999, APCC/OECC 1999, 5<sup>th</sup> APC and 4<sup>th</sup> Optoelectronics and Communications Conference, Vol. 2, 1999, pp. 880-883; and
30. Cohen et al., "Connection Caching," Proceedings of the 31<sup>st</sup> Annual ACM Symposium on Theory of Computing, 1999, pp. 612-621.

A PTO form 1449 (3 pages) listing these documents is enclosed.

The relevance of the attached references is that this is the closest art of which Applicant is aware.

Citation of the above documents shall not be construed as:

1. an admission that the documents are necessarily prior art with respect to the instant invention;
2. a representation that a search has been made, other than as described above; or
3. an admission that the information cited herein is, or is considered to be, material to patentability as defined in 37 C.F.R. §1.56(b).

To Applicant's knowledge, a first office action on the merits has not yet been mailed in this application. Therefore, no fee is due. 37 CFR §1.97(b)(3).

Respectfully Submitted,

Date: 8/29/02

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